

ASD(C)

Department of Defense Directive

SUBJECT Access to and Dissemination of Restricted Data

Refs.: (a) DoD Directive 5210.2, "Access to and Dissemination of Restricted Data, "October 18, 1968 (hereby canceled)

- (b) Atomic Energy Act of 1954, as amended (Public Law 83-7'03)
- (c) Energy Reorganization Act of 1974 (Public Law 93-438)
- (d) through (h), See enclosure 1

.. REISSUANCE AND PURPOSE

This Directive reissues reference (a) to update policies and procedures governing access to and dis seminat ion of Restricted Data by the Department of Defense. It implements 'e ference (b) as modified by references (c) and (d). Reference a) is hereby canceled and superseded.

B. APPLICABILITY AND SCOPE

The provisions of this Directive apply to the Office of the ecretary of Defense, the Military Departments, the Organization f the Joint Chiefs of Staff, the Unified and Specified ommands, and the Defense Agencies, hereafter referred to as DoD Components.

• DEFINITIONS

For the purposes of this Directive, definitions in nclosure 2 apply.

•AGREEMENTS

1. In implementation of section 143 (enclosure 3) of eference (b), the **Secretary** of Defense notified the **Atomic** nergy Commission" (AEC) that the established personnel and other **ecurity procedures-of** the Department of Defense **and** its **agen-**ies (DoD Regulation 5200.1-R (reference (f)). DoD Directive 210.8 (reference (g)), and DoD Regulation 5220.22-R (reference

- (h))) were adequate and in reasonable conformity with the standards established by the Commission. Subsequent to the enactment of the Energy Reorganization Act of 1974 (P.L. 93-438) (reference (c)) and the Department of Energy Organization Act (P.L. 95-91) (reference (d)), this notification has been reaffirmed to the successor agencies of AEC. In addition, the security procedures agreed to over the years by DoD and AEC and its successor agencies have remained in effect.
- 2. The Department of Defense will assume responsibility for the safeguarding of Restricted Data in its custody and control further dissemination to **DoD** employees and its contractors.
- 3. The Department of Defense will assume responsibility y for assuring that those persons who sign certifications, as set forth in E.l.b. (1), are, in fact, authorized to sign them.
- 4. For personnel of other Federal agencies who have a need-to-know in performance of their official duties, the Department of Def ens e agrees to accept Department of Energy (DOE) and Nuclear Regulatory Commission (NRC) clearances for access to classified information (including Restricted Data), on the following equivalent basis:

DOE and NRC Clearances DoD Clearances 17 T. 11 (For NRC employees, consultants, and contractor SECRET personnel valid for access up to and including SECRET National Security information and Restricted Data at the CONFIDENTIAL level only) (For DOE contractor personnel only, valid for SECRET access up to and including SECRET National Security information and Restricted Data at the CONFIDENTIAL level only) ("L" clearances are not granted to internal DOE personnel) "Q" SECRET (With specific authority for TOP SECRET access) TOP SECRET

DoD contractor granted CONFIDENTIAL clearances are not valid for access to Restricted Data.

5* Subsequent to implement at ion by the National Aeronautics and Space Administration (NASA) of section 304(b) of the National Aeronautics and Space Act of 1958 (P. L. 85-568) (reference (e)), the Department of Defense and NASA have agreed that exchanges of Restricted Data related to aeronautical and space activities between personnel of the two agencies and their contractors shall be controlled and safeguarded in the same manner and under the same rules as other classified information.

E. POLICIES AND PROCEDURES

1. Access

- a. Within and between DoD Components, to include contractor activities, access to Restricted Data information will be governed by the same procedures and criteria as govern the access to other classified information:
 - (1) Require access in performance of official duties.
- (2) Have a valid DoD security clearance at a level commensurate with the information concerned.
- b. Requests for access to Restricted Data in the possession of DOE or other Federal agencies designated by DOE, other than DoD and NASA, will be made utilizing **DOE** Form 277, "Request for **Visit** or **Access** Approval."
- (1) The Secretary of Defense; the Deputy Secretary of Defense; the Secretaries of the Military Departments; the Chairman, Joint Chiefs of Staff; the Chairman, Military Liaison Committee (DOE-DoD); the Directors of the Defense Agencies; and their designees, are authorized to certify the need of DoD personnel, under their jurisdiction, to have access to Restricted Data in the possession of DOE and other Federal agencies designated by DOE. These officials shall forward their lists of designees to the Chairman, Military Liaison Committee, who shall transmit a composite list to DOE and to the Deputy Assistant Secretary of Defense (Security Policy) for incorporation into enclosure 5 to this Directive. Strict adherence to "need-to-know" principles will be followed. For Navy and Air Force, the authority to certify for Restricted Data access shall not be designated below the level of the authority granting the security clearance. For Army, the authority to certify for Restricted Data access shall. not be designated below Brigade level or equivalent. For contractor employees, the need for access to Restricted Data will, in all cases, be certified by a Government Contracting Off icer.
- (2) Those persons listed in **E.1.b.** (1), or their designees, shall submit requests for access to Restricted Data directly to **DOE**, Director of Safeguards and Security, Washington, D. C. 20545. Requests should be forwarded through established security channels.
- (3) DoD requests for access to Restricted Data, in the posses **sion** of Federal agencies other -than the Department of **Def ens** e, pertaining to the Army Research Reactor Program and the Navy Research Reactor Program **shall** be submitted to the U.S. Nuclear Regulatory Commission, Division of Security, Washington, D. C. 20555.
 - (4) DoD requests for access to Restricted Data pertaining

to weapons programs shall be submitted directly to the Managers of the Albuquerque or San Francisco DOE Operations Offices (or to those officials designated by these Managers), provided:

- (a) The requesting activity is performing work with or for DOE or its contractors under the jurisdiction of the Albuquerque or San Francisco Operations Off ices pursuant to a formal written agreement; or
- (b) The requesting activity has been specifically authorized to make requests directly to DOE Managers of Operations for specific areas of mutual interest within the weapons programs.
- (5) In situations other than specified in E .1.b. (3) and (4), DoD requests for access to Restricted Data in the custody of DOE personnel shall be submitted to the DOE Headquarters Division having responsibility for the subject matter involved.
- (6) When it is necessary for a DoD activity to establish authority for requesting access directly from DOE Managers of Operations, a request for such authority shall be submitted to the DOE Headquarters Division responsible for the program to which access is required.
- (7) **DOE** has authorized its personnel to accept oral requests in emergencies. In those instances, all. of the information required in DOE Form 277 shall be provided. Thereafter, an appropriate written confirmation shall be forwarded. Personnel authorized to approve requests for **access** to or release of Restricted Data **shall** make determinations of emergency situations or conditions.
- (8) If an individual requires repeated access to the same type of information or continuing visits to a facility, under the cognizance of the same approving authority, the request shall so specify. Local. arrangements for continuing access may be made for a specified period not to exceed 1 year. Access by members of the Armed Forces may be arranged for the specified period of the assignment for which access was originally approved.

2. Dissemination

- a. DoD personnel may disseminate Restricted Data information only under the following guidelines:
- (1) Within and between **DoD** Components, to include DoD contractors, dissemination of Restricted Data information will be governed by the same procedures and criteria as govern the dissemination of other classified information.
- (2) Dissemination of Restricted Data information may be `.: made to properly cleared DOE personnel and to DOE-cleared personnel of other Federal agencies.

- (3) Dissemination of Restricted Data information pertaining only to nuclear research reactors or nuclear electric power generating reactors may be made to NRC personnel. Restricted Data not related to these reactors may be released to NRC personnel only through DOE.
- (4) Dissemination of Restricted Data information other than that pertaining to aeronautical. and space activities may be released to NASA personnel only through DOE.
- (5) In **all** above cases, dissemination of Restricted Data **information will** be made only after the holder of the information has verified:
 - (a) The identification of the prospective recipient.
- (b) The validity of the prospective recipient's clearance.
- (c) The "need-to-know" of the prospective recipient in connection with official duties.
- b. Dissemination of Restricted Data and Formerly Restricted Data to any nation or regional defense organization or to a representative thereof, is prohibited except in accordance with agreements for cooperation, entered into pursuant to section 123 (enclosure 4) of the Atomic Energy Act of 1954, as amended (reference (b)).
- c. Except as provided in E.2.b., Formerly Restricted Data will be treated and disseminated in the manner prescribed for classified . information in DoD Regulation 5200.1-R (reference (f)).

F. CRITICAL NUCLEAR WEAPON DESIGN INFORMATION (CNWDI)

1. Access to and dissemination of CNWDI, as defined in enclosure 2, is of particular concern to the Department of Defense. Because of the extreme sensitivity of this type of information, access must be limited to the absolute minimum number of persons who need it to accomplish their assigned responsibilities. To meet this objective, the following special procedures for controlling CNWDI information have been established.

a. Clearances and Need-to-Know

- (1) As a minimum, the required security clearances for personnel eligible for access to CNWDI shall. be:
 - (a) Final TOP SECRET or SECRET (as appropriate), or
 - (b) **DOE** "Q" for **non-DoD** personnel.

- (2) U.S. citizenship is required, except in rare instances when an immigrant alien may possess unique or very unusual talent or skill that is essential to the U.S. Government and not possessed to a comparable degree by an available U.S. citizen. In such exceptional cases, an affirmative determination shall be made that it is in the overall best interests of the United States to grant CNWDI access to an immigrant alien. Such a determination shall be made by the Secretary of Defense or his designee, based upon the recommendation of the Head of the responsible DoD Component.
- (3) Written or oral communication of CNWDI shall be strictly limited to those personnel who have a "need-t o-know." Manage ment personnel at all levels shall not automatically approve requests for access to CNWDI, but shall insist upon full justification and shall reject any requests that are not completely justified. The Head of each DoD Component and management personnel at all levels are assigned a special responsibility to insure that this "need-to-know" principle is s trictly enforced.
- b. <u>Briefings</u>. Personnel having a need for access to **CNWDI** shall be briefed on its sensitivity. Briefing and access authorizations will be recorded in appropriate security records. Records of **CNWDI** briefings and access authorizations will be maintained in a manner that would facilitate verification.
- c. Marking. Documents or other media as defined in DoD
 Regulation 5200.1-R (reference (f)), which contain CNWDI and are generated after July 1, 1978, shall be clearly marked, "Critical Nuclear Weapon Design Information DoD Directive 5210.2 applies. " Similar documents published before July 1, 1978, and which are in working files, will be similarly marked when they are withdrawn from files. In addition, paragraphs of documents generated after July 1, 1978, which contain CNWDI, will be so marked. Example: (S-RD) (N). An (N) following the classification denotes that the classified material is additionally identified as CNWDI.
- 2. Within and between **DoD** Components, to include **DoD** contractors, except for the special requirements enumerated above, access to **CNWDI** will be controlled in the same manner as other classified information.

G. EFFECTIVE DAZE AND IMPLEMENTATION

This Directive is effective immediately. Forward two copies of implementing documents, and any subsequent amendments, to the Assistant

Secretary of Defense (Comptroller) within 90 days. One copy shall be marked to indicate implemented sections, subsections, paragraphs, and subparagraphs of this Directive.

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Deputy Secretary of Defense

Enclosures - 5

- 1. References, Cent inued
- 2. Def init ions
- 3. Excerpt from Section 143, Atomic Energy Act of 1954, as amended
- 4. Excerpt from Section 123, Atomic Energy Act of 1954, as amended
- 5. List of Certifying Officials

REFERENCES, Continued

- (d) Department of Energy Organization Act (Public Law 95-91)
- (e) National Aeronautics and Space Administration Act of 1958 (Public Law 85-568)
- (f) DoD 5200.1-R, "Information Security Program Regulation, " November 1973
- (g) DoD Directive 5210.8, "Policy on Investigation and Clearance of DoD Personnel for Access to Classified Defense Information, "February 15, 1962
- (h) DoD 5220.22-R, "Department of Defense Industrial Security Regulation, " April 1975

DEFINITIONS

- A. <u>Classified Information</u>. Official information which has been determined to require, in the interests of **national** security, protection against unauthorized disclosure and which has been so designated.
- B. Critical Nuclear Weapon Design Information (CNWDI). That TOP SECRET Restricted Data or SECRET Restricted Data revealing the theory of operation or design of the components of a thermo-nuclear or implosion-type fission bomb, warhead, demolition munition or test device. Specifically excluded is information concerning arming, fuzing, and firing sys terns; limited life components; and total contained quantities of fissionable, fus ionable, and high explosive materials by type. Among these excluded items are the components which DoD personnel set, maintain, operate, test, or replace.
- C. <u>Department of Defense (DoD) Personnel</u>. Military personnel in the Armed Forces, including members of the Reserve Forces and **Federally** recognized members of the National. Guard; employees of a **DoD** Component, including consultants, full-time and temporary part-time employees and personnel paid from nonappropriated funds; and contractors, prospective contractors, and contractor employees of a **DoD** Component. (See also **DoD** Regulation 5220 .22-R (reference (h)).)
- D. <u>DoD Security Clearance</u>. A clearance granted by a DoD Component pursuant to the provisions of **DoD** Directive 5210.8 and **DoD** Regulation 5220.22-R (references (g) and (h)). (A contractor-granted CONFIDENTIAL security clearance is not valid for access to Restricted **Data.)**
- E. 'department of Energy (DOE) personnel. DOE employees, DOE contractors and their employees, and Federal Executive Branch component personnel assigned to DOE for duty (e.g., DoD, State Department, National Aeronautics and Space Administration (NASA), etc.).
- F. <u>DOE Security Clearance</u>. A clearance granted by DOE pursuant to **provisions** of the Atomic **Energy** Act of 1954, as amended (P. L. 83-1703), the Energy Reorganization Act of 1974 (P.L. 93-438), and the Department of Energy Organization Act (P.L. 95-91) (references (b), (c), and (d)).
 - G. <u>Formerly Restricted Data</u>. Data removed from the Restricted Data category upon determination jointly by DOE and the Department of Defense that such data relates primarily to the military utilization of atomic weapons and that such data can be adequately safeguarded as classified inf ormat ion. Such information is, however, treated the ssme as Restricted Data for purposes of foreign dissemination. (See E.2.b., basic Directive.)
 - H. NASA Personnel. Any officer, employee, member of an advisory committee, contractor, subcontractor, or officer of employee of a contractor or subcontractor, of the NASA, and Federal Executive Branch component

personnel assigned to NASA for duty (e.g., DoD, State Department, DOE, etc.).

- I. NASA Security Clearance. A clearance granted by the NASA, pursuant to regulations issued by NASA.
- J. <u>Nuclear Regulatory Commission (NRC) Personnel</u>. NRC employees, **NRC** contractors and their employees, / and Federal Executive Branch component personnel assigned to NRC for **duty** (e .g., DoD, State Department, NASA, etc.).
- K. NRC Security Clearance. A clearance granted by the NRC, pursuant to regulations issued by NRC.
- L. <u>Restricted Data</u>. All data (information) concerning (1) design, manufacture, or utilization of atomic weapons; (2) the production of special nuclear material; or (3) the use of special nuclear material in production of energy. **The** term does not include data declassified or removed from the Restricted Data category pursuant to section 142 of the **Atomic** Energy Act of 1954, as amended (reference (b)). (Also see "Formerly Restricted Data.")

Atomic Energy Act of 1954, Section 143, as Amended (42 U.S. C. 2163)

Section 143. Department of Defense Participation. -- The Commission may authorize any of its employees, or employees of any contractor, prospective contractor, licensee or prospective licensee of the Commission or any other person authorized access to Restricted Data by the Commission under subsections 145b and 145c to permit any employee of an agency of the Department of Defense or of its contractors, or any member of the Armed Forces to have access to Restricted Data required in the performance of his duties and so certified by the head of the appropriate agency of the Department of Defense or his designee: Provided, however, That the head of the appropriate agency of the Department of Defense or his designee has determined, in accordance with the established personnel security procedures and standards of such agency, that permit t ing the member or employee to have access to such Restricted Data will not endanger the common defense and security: And provided further. That the Secretary of Defense finds that the established personnel and other security procedures and standards of such agency are adequate and in reasonable conformity to the standards established by the Commission under section 145.

Atomic Energy Act of 1954, Section 123, as Amended (42 U.S. C. 2163)

Section 123. Cooperation With Other Nations. -- No cooperation with any nation or regional def ens e organization pursuant to sections 53, 54a, 57, 64, 82, 91, 103, 104, or 144 shall be undertaken until--

- a. the Commission or, in the case of those agreements for cooperation arranged pursuant to subsection 91 c. or 144 b. which are to be implemented by the Department of Defense, the Department of Defense has submitted to the President the proposed agreement for cooperation, together with its recommendations thereon, which proposed agreement shall include (1) the terms, conditions, duration, nature, and scope of the cooperation; (2) a quaranty by the cooperating party that security safeguards and s tandards as set forth in the agreement for cooperation will be maintained; (3) except in the case of those agreements for cooperation arranged pursuant to subsection 91 c. a quaranty by the cooperating party that any material to be transferred pursuant to such agreement will not be used for atomic weapons, or for research on or development of atomic weapons or for any other military purpose; and (4) a guaranty by the cooperating party that any material or any Restricted Data to be transferred pursuant to the agreement for cooperation will not be transferred to unauthorized persons or beyond the jurisdiction of the cooperating party, except as specified in the agreement for cooperation;
- b. the President has approved and authorized the execution of the proposed agreement for cooperation, and has made a determination in writing that the performance of the proposed agreement will promote and will not constitute an unreasonable risk to the common defense and security;
- c. the proposed agreement for cooperation, together with the approval and the determination of the President, has been submitted to the Joint Committee and a period of thirty days has elapsed while Congress is in session (in computing such thirty days, there shall be excluded the days on which either House is not in session because of an adjournment of more than three days): Provided, however, That the Joint Committee, after having received such agreement for cooperation, may by resolution in writing waive the conditions of all or any portion of such thirty-day period; and;
- d. The proposed agreement for cooperation, together with the approval and determination of the President, if arranged pursuant to subsection 91 c., 144 b., or 144 c., or if entailing implementation of sections 53, 54a, 103, or 104 in relation to a reactor that may be capable of producing more than five thermal megawatts or special nuclear material for use in tonne ction therewith, has been submitted to the Congress and referred to the Joint Committee and a period of sixty days has elapsed while Congress is in session (in computing such sixty days,

there shall be excluded the days on which either House is not in session because of an adjournment of more than three days), but any such proposed agreement for cooperation shall. not become effective if during such sixty-day period the Congress passes a concurrent resolution stating in subs t ante that it does not f aver the proposed agreement for cooperation: Provided That prior to the elapse of the first thirty days of any such sixty-day period the Joint Committee shall submit a report to the Congress of its views and recommendations respecting the proposed agreement and an accompanying proposed concurrent resolution stating in subs tance that the Congress f avers, or does not f aver, as the case may be, the proposed agreement for cooperation. Any such concurrent resolution so reported shall become the pending business of the House in question (in the case of the **Seante** the time for debate shall be equally divided between the proponents and the opponents) within twentyfive days and shall be voted on within five calendar days thereafter, unless such House shall otherwise determine.

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